

FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00431312

3. IS THIS REPORT

☒

NEW (N)

OR

☐

AMENDED (A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15 Quarterly Report (Q1)

☐ July 15 Quarterly Report (Q2)

☐ October 15 Quarterly Report (Q3)

☐ January 31 Year-End Report (YE)

☐ July 31 Mid-Year Report (Non-election Year Only) (MY)

☐ Termination Report (TER)

(b) Monthly Report Due On:

☐ Feb 20 (M2)☒ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11) (Non-Election Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☐ Dec 20 (M12) (Non-Election Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐

Primary (12P)

☐

General (12G)

☐

Runoff (12R)

☐

Convention (12C)

☐

Special (12S)

Election on

M M M / D D D / Y Y Y Y Y Y

M M M / D D D / Y Y Y Y Y Y

M M M / D D D / Y Y Y Y Y Y

in the State of

M M M / D D D / Y Y Y Y Y Y

(d) 30-Day

POST-Election

Report for the:

☐

General (30G)

☐

Runoff (30R)

☐

Special (30S)

Election on

M M M / D D D / Y Y Y Y Y Y

M M M / D D D / Y Y Y Y Y Y

M M M / D D D / Y Y Y Y Y Y

in the State of

M M M / D D D / Y Y Y Y Y Y

5. Covering Period

M M M / D D D / Y Y Y Y Y Y

04

M M M / D D D / Y Y Y Y Y Y

01

M M M / D D D / Y Y Y Y Y Y

2014

through

M M M / D D D / Y Y Y Y Y Y

04

M M M / D D D / Y Y Y Y Y Y

30

M M M / D D D / Y Y Y Y Y Y

2014

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer

Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

M M M / D D D / Y Y Y Y Y Y

05

M M M / D D D / Y Y Y Y Y Y

20

M M M / D D D / Y Y Y Y Y Y

2014

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office
Use
Only

FEC FORM 3X
Rev. 12/2004

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y 04 / 01 / 2014 To: M M / D D / Y Y Y Y Y 04 / 30 / 2014

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, Y Y Y Y Y 2014		249148.88
(b) Cash on Hand at Beginning of Reporting Period.....	171615.79	
(c) Total Receipts (from Line 19)	63343.49	157913.35
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	234959.28	407062.23
7. Total Disbursements (from Line 31)	29863.48	201966.43
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	205095.80	205095.80
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M M / D D / Y Y Y Y
04 / 01 / 2014

To:

M M / D D / Y Y Y Y
04 / 30 / 2014

I. Receipts

COLUMN A
Total This Period

COLUMN B
Calendar Year-to-Date

11. Contributions (other than loans) From:

(a) Individuals/Persons Other

Than Political Committees

(i) Itemized (use Schedule A).....

59377.59

128601.02

(ii) Unitemized

1602.42

5845.90

(iii) TOTAL (add

Lines 11(a)(i) and (ii)..... ▶

60980.01

134446.92

(b) Political Party Committees

0.00

0.00

(c) Other Political Committees

(such as PACs).....

2000.00

22000.00

(d) Total Contributions (add Lines

11(a)(iii), (b), and (c)) (Carry

Totals to Line 33, page 5)

62980.01

156446.92

12. Transfers From Affiliated/Other

Party Committees.....

0.00

0.00

13. All Loans Received

0.00

0.00

14. Loan Repayments Received.....

0.00

0.00

15. Offsets To Operating Expenditures

(Refunds, Rebates, etc.)

(Carry Totals to Line 37, page 5).....

363.48

1466.43

16. Refunds of Contributions Made

to Federal Candidates and Other

Political Committees.....

0.00

0.00

17. Other Federal Receipts

(Dividends, Interest, etc.).....

0.00

0.00

18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account

(from Schedule H3)

0.00

0.00

(b) Levin Funds (from Schedule H5)

0.00

0.00

(c) Total Transfers (add 18(a) and 18(b))..

0.00

0.00

19. Total Receipts (add Lines 11(d),
12, 13, 14, 15, 16, 17, and 18(c))..... ▶

63343.49

157913.35

20. Total Federal Receipts

(subtract Line 18(c) from Line 19)

63343.49

157913.35

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	363.48	1466.43
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	363.48	1466.43
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	29500.00	200500.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	29863.48	201966.43
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	29863.48	201966.43

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	62980.01	156446.92
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	62980.01	156446.92
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ►	363.48	1466.43
37. Offsets to Operating Expenditures (from Line 15, page 3).....	363.48	1466.43
38. Net Operating Expenditures (subtract Line 37 from Line 36) ►	0.00	0.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Bryan Weadock

Mailing Address 111 E 80th Street
Apt 8A

City State Zip Code
New York NY 10075-0352

FEC ID number of contributing
federal political committee.

C

Name of Employer

Bank of America Merrill Lynch

Occupation

Managing Director, Co-Head Global FICC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 01 / 2014

Transaction ID : 21671094

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

B. James Rosenthal

Mailing Address 241 Central Park West
Apt 9F

City State Zip Code
New York NY 10024-4796

FEC ID number of contributing
federal political committee.

C

Name of Employer

Morgan Stanley

Occupation

COO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 04 / 2014

Transaction ID : 21675971

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Horace Lurton

Mailing Address 5004 Scarsdale Road

City State Zip Code
Bethesda MD 20816-2438

FEC ID number of contributing
federal political committee.

C

Name of Employer

Janney Montgomery Scott LLC

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 04 / 2014

Transaction ID : 21676009

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

10250.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lisa Kidd-Hunt

Mailing Address 3531 Raymoor Road

City

Kensington

State

MD

Zip Code

20895-3127

FEC ID number of contributing
federal political committee.

C

Name of Employer

Charles Schwab Corporation, The

Occupation

Executive Vice President

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 08 / 2014

Transaction ID : 21680520

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Ronald J. Kruszewski

Mailing Address One Financial Plaza
501 N. Broadway

City

Saint Louis

State

MO

Zip Code

63102-2131

FEC ID number of contributing
federal political committee.

C

Name of Employer

Stifel, Nicolaus & Company, Incorporated

Occupation

Chairman & CEO

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 08 / 2014

Transaction ID : 21680521

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Ms. Karen Shakoske

Mailing Address 1835 Arch Street
Apt. 1410

City

Philadelphia

State

PA

Zip Code

19103-2784

FEC ID number of contributing
federal political committee.

C

Name of Employer

Janney Montgomery Scott LLC

Occupation

SVP - Director of Marketing

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 08 / 2014

Transaction ID : 21680525

Amount of Each Receipt this Period

1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

11000.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 8 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. John F.W. Rogers

Mailing Address 85 Broad Street

City
New York

State Zip Code
NY 10004

FEC ID number of contributing
federal political committee.

C

Name of Employer
Goldman (The) Sachs Group, Inc.

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

04 / 08 / 2014

Transaction ID : 21680526

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. James A. Tricarico Jr.

Mailing Address 766 Park Avenue

City
Manhasset

State Zip Code
NY 11030-2809

FEC ID number of contributing
federal political committee.

C

Name of Employer
Edward Jones

Occupation
General Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

04 / 08 / 2014

Transaction ID : 21680527

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City
Washington

State Zip Code
DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1346.45

Date of Receipt

04 / 02 / 2014

Transaction ID : 21680565

Amount of Each Receipt this Period

192.35

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

10192.35

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 9 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

673.05

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 02 / 2014

Transaction ID : 21680567

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

B. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 02 / 2014

Transaction ID : 21680569

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

673.05

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 02 / 2014

Transaction ID : 21680571

Amount of Each Receipt this Period

96.15

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

230.80

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 10 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 02 / 2014

Transaction ID : 21680572

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

538.44

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 02 / 2014

Transaction ID : 21680575

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

C. Ms. Nancy Donohoe Lancia

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, State Govt. Affairs

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 02 / 2014

Transaction ID : 21680576

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

153.92

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 11 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1923.11

Date of Receipt

04 / 02 / 2014

Transaction ID : 21680577

Amount of Each Receipt this Period

288.46

Full Name (Last, First, Middle Initial)

B. Mr. Payson R. Peabody

Mailing Address 1101 New York Avenue, NW
8th Floor

City Washington State DC Zip Code 20005-4279

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

04 / 02 / 2014

Transaction ID : 21680578

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

04 / 02 / 2014

Transaction ID : 21680579

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ▶

TOTAL This Period (last page this line number only)..... ▶

365.46

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Robert Joseph Moore

Mailing Address PO Box 2764

City State Zip Code
 Rancho Santa Fe CA 92067-2764

FEC ID number of contributing
federal political committee.

C

Name of Employer

LPL Financial

Occupation

President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y
 04 / 08 / 2014

Transaction ID : 21680588

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Douglas M Hodge

Mailing Address 840 Newport Center Drive

City State Zip Code
 Newport Beach CA 92660-6310

FEC ID number of contributing
federal political committee.

C

Name of Employer

PIMCO

Occupation

Managing Director, COO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y
 04 / 17 / 2014

Transaction ID : 21697507

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

c. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
 8th Floor

City State Zip Code
 Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1538.80

Date of Receipt

M M / D D / Y Y Y Y Y
 04 / 16 / 2014

Transaction ID : 21702527

Amount of Each Receipt this Period

192.35

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

10192.35

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 13 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

769.20

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 16 / 2014

Transaction ID : 21702529

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

B. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 16 / 2014

Transaction ID : 21702531

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

769.20

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 16 / 2014

Transaction ID : 21702534

Amount of Each Receipt this Period

96.15

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

230.80

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 14 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 16 / 2014

Transaction ID : 21702535

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

615.36

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 16 / 2014

Transaction ID : 21702538

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

C. Ms. Nancy Donohoe Lancia

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, State Govt. Affairs

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 16 / 2014

Transaction ID : 21702539

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

153.92

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 15 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2211.57

Date of Receipt

04 / 16 / 2014

Transaction ID : 21702540

Amount of Each Receipt this Period

288.46

Full Name (Last, First, Middle Initial)

B. Mr. Payson R. Peabody

Mailing Address 1101 New York Avenue, NW
8th Floor

City Washington State DC Zip Code 20005-4279

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

04 / 16 / 2014

Transaction ID : 21702541

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

308.00

Date of Receipt

04 / 16 / 2014

Transaction ID : 21702542

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

365.46

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 16 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Christopher Hamel

Mailing Address 6030 E. Mariposa Street

City

Scottsdale

State

AZ

Zip Code

85251-1935

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

04 / 15 / 2014

Transaction ID : 21705214

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Cory J Hoeppner

Mailing Address 4836 Harriet Avenue South

City

Minneapolis

State

MN

Zip Code

55419-5436

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 15 / 2014

Transaction ID : 21705217

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. James J. Tricoli

Mailing Address 709 Great Springs Road

City

Bryn Mawr

State

PA

Zip Code

19010-1703

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 16 / 2014

Transaction ID : 21705219

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2000.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 17 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Daniel Heimowitz

Mailing Address 136 East 79th Street

City

New York

State

NY

Zip Code

10075-0328

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 17 / 2014

Transaction ID : 21705221

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Ms. Helen Feinberg

Mailing Address 702 Pass-a-Grille Way

City

St. Pete Beach

State

FL

Zip Code

33706

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 20 / 2014

Transaction ID : 21705223

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Matt Boles

Mailing Address 4659 Belclaire Avenue

City

Dallas

State

TX

Zip Code

75209-6003

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 21 / 2014

Transaction ID : 21705224

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 18 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ron D Morrison

Mailing Address 685 Waterbrook Drive

City Irving State TX Zip Code 75039-3796

FEC ID number of contributing federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 21 / 2014

Transaction ID : 21705226

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Lorrie DuPont

Mailing Address 399 W Fullerton

City Chicago State IL Zip Code 60614-2876

FEC ID number of contributing federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 22 / 2014

Transaction ID : 21705229

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Jack W Falconi

Mailing Address 6433 Raptor Court

City North Las Vegas State NV Zip Code 89084-2847

FEC ID number of contributing federal political committee.

C

Name of Employer
BB & T Capital Markets

Occupation
Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

300.00

Date of Receipt

04 / 24 / 2014

Transaction ID : 21705234

Amount of Each Receipt this Period

300.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1300.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 19 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Andrew S Dobler

Mailing Address 14248 Post Mill Drive

City

Midlothian

State

VA

Zip Code

23113-3790

FEC ID number of contributing
federal political committee.

C

Name of Employer

BB & T Capital Markets

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 21 / 2014

Transaction ID : 21705237

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Christopher Sivley

Mailing Address 823 Cypress Crossing Trail

City

Saint Augustine

State

FL

Zip Code

32095-6847

FEC ID number of contributing
federal political committee.

C

Name of Employer

BB & T Capital Markets

Occupation

Complex Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 17 / 2014

Transaction ID : 21705239

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. Kimberly A Smith

Mailing Address 3707 Rafterstridge Drive

City

Midlothian

State

VA

Zip Code

23113-3746

FEC ID number of contributing
federal political committee.

C

Name of Employer

BB & T Capital Markets

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 17 / 2014

Transaction ID : 21705240

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

750.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 20 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Elizabeth D. Blake

Mailing Address 23 Maxwell Road

City

Richmond

State

VA

Zip Code

23226-1627

FEC ID number of contributing
federal political committee.

C

Name of Employer

BB & T Capital Markets

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

04 / 16 / 2014

Transaction ID : 21705245

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Randolph C. Snook

Mailing Address 74 Beverly Drive

City

Bernardsville

State

NJ

Zip Code

07924-1302

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive VP, US Business Policies & P

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

04 / 29 / 2014

Transaction ID : 21706407

Amount of Each Receipt this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Michael A. Baumrin

Mailing Address 577 4th Street

City

Brooklyn

State

NY

Zip Code

11215-3008

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

04 / 28 / 2014

Transaction ID : 21706456

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

3250.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 21 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Harris Kretsge

Mailing Address 225 W 22nd Street

City

New York

State

NY

Zip Code

10011-2702

FEC ID number of contributing
federal political committee.

C

Name of Employer

RBC Capital Markets

Occupation

Senior Vice President

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 24 / 2014

Transaction ID : 21706463

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Brand F. Meyer

Mailing Address 951 East Byrd Street

City

Richmond

State

VA

Zip Code

23219-4040

FEC ID number of contributing
federal political committee.

C

Name of Employer

Wachovia Securities, LLC

Occupation

President, Financial Services Group

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 08 / 2014

Transaction ID : 21739502

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Keith Shultis

Mailing Address 12 Highland Park Plance

City

Rye

State

NY

Zip Code

10580-1633

FEC ID number of contributing
federal political committee.

C

Name of Employer

Goldman Sachs & Co.

Occupation

Managing Director

Receipt For:

☐ Primary
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21753735

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

6000.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 22 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Paul J. Cassidy

Mailing Address 6200 Uptown Boulevard Northeast
Suite 110

City State Zip Code
Albuquerque NM 87110-4160

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Capital Markets

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 29 / 2014

Transaction ID : 21753738

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1731.15

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765943

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

C. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

865.35

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765945

Amount of Each Receipt this Period

96.15

SUBTOTAL of Receipts This Page (optional)..... ►

788.50

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 23 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765947

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

865.35

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765950

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

C. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765951

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

173.15

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 24 OF 37

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. **Marin E. Gibson**

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

692.28

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765954

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

B. **Ms. Nancy Donohoe Lancia**

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, State Govt. Affairs

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765955

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. **Mr. Carter McDowell**

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.03

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765956

Amount of Each Receipt this Period

288.46

SUBTOTAL of Receipts This Page (optional)..... ►

403.88

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 25 OF 37

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Payson R. Peabody

Mailing Address 1101 New York Avenue, NW
8th Floor

City State Zip Code
Washington DC 20005-4279

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765957

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.50

Date of Receipt

M M / D D / Y Y Y Y Y
04 / 30 / 2014

Transaction ID : 21765958

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

77.00

59377.59

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 26 OF 37

☐ 11a ☐ 11b ☒ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. AEGON USA, LLC/TRANSAMERICA CORPORATION PAC

Mailing Address 1001 Pennsylvania Avenue NW
Suite 500A South

City Washington State DC Zip Code 20004

FEC ID number of contributing
federal political committee.

C C00236414

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

04 / 08 / 2014

Transaction ID : 21765849

Amount of Each Receipt this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2000.00

2000.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 27 OF 37
(check only one)

☐ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☒ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Securities Industry and Financial Markets Association

Mailing Address 120 Broadway
Floor 35

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1466.43

Date of Receipt

M M / D D / Y Y Y Y Y Y
04 29 2014

Transaction ID : 21706406

Amount of Each Receipt this Period

363.48

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

363.48

363.48

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 28 OF 37

☒ 21b ☐ 22 ☐ 23 ☐ 24 ☐ 25 ☐ 26
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		07		2014

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Credit Card Fees

001

Candidate Name

Category/
Type**Transaction ID : 21765817**

Amount of Each Disbursement this Period

190.57

Credit Card Fees

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
-------------------	---

Full Name (Last, First, Middle Initial)

B. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		02		2014

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Credit Card Fees

001

Candidate Name

Category/
Type**Transaction ID : 21765818**

Amount of Each Disbursement this Period

142.88

Credit Card Fees

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
-------------------	---

Full Name (Last, First, Middle Initial)

C. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		02		2014

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

Purpose of Disbursement
Bank Fee

001

Candidate Name

Category/
Type**Transaction ID : 21765819**

Amount of Each Disbursement this Period

30.03

Bank Fee

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
-------------------	---

SUBTOTAL of Disbursements This Page (optional)..... ►

363.48

TOTAL This Period (last page this line number only)..... ►

363.48

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 29 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Vargas For Congress

Mailing Address 330 Encinitas Blvd., Suite 101

City	State	Zip Code
Encinitas	CA	92024

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Juan VargasCategory/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☒ Primary ☐ General
☐ Other (specify) ▼

State: CA District: 51

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		08		2014

Transaction ID : 21680626

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Portman For Senate Committee

Mailing Address 9856 Archer Lane

City	State	Zip Code
Dublin	OH	43017

Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Rob PortmanCategory/
TypeOffice Sought: ☐ House
☒ Senate
☐ PresidentDisbursement For: 2016
☒ Primary ☐ General
☐ Other (specify) ▼

State: OH District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		08		2014

Transaction ID : 21680627

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of Jim Clyburn

Mailing Address PO Box 12567

City	State	Zip Code
Columbia	SC	29211

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. James E. ClyburnCategory/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☒ Primary ☐ General
☐ Other (specify) ▼

State: SC District: 06

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		08		2014

Transaction ID : 21680632

Amount of Each Disbursement this Period

2500.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

4500.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 30 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. David Scott For Congress

Mailing Address P.O. Box 960821

City	State	Zip Code
Riverdale	GA	30296

Purpose of Disbursement
Contribution

Candidate Name

Rep. David Albert Scott

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: GA District: 13

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		08		2014

Transaction ID : 21680633

Amount of Each Disbursement this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Kay Granger Campaign Fund

Mailing Address 715 Jones Street, Suite 101

City	State	Zip Code
Fort Worth	TX	76102

Purpose of Disbursement
Contribution

Candidate Name

Rep. Kay Granger

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: TX District: 12

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		08		2014

Transaction ID : 21680636

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mulvaney For Congress

Mailing Address P.O. Box 1975

City	State	Zip Code
Lancaster	SC	29721

Purpose of Disbursement
Contribution

Candidate Name

Rep. Mick Mulvaney

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: SC District: 05

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		11		2014

Transaction ID : 21685563

Amount of Each Disbursement this Period

3000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

4500.00

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SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 31 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends Of Dennis Ross

Mailing Address PO Box 7310

City
LakelandState
FLZip Code
33807Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Dennis A. RossCategory/
Type

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2014

☒ Primary ☐ General
☐ Other (specify) ▼

State: FL

District: 12

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		11		2014

Transaction ID : 21685574

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Friends Of Pat Toomey

Mailing Address 2720 Jordan Road

City
OrefieldState
PAZip Code
18069Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Patrick ToomeyCategory/
Type

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2016

☒ Primary ☐ General
☐ Other (specify) ▼

State: PA

District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		11		2014

Transaction ID : 21685577

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of Pat Toomey

Mailing Address 2720 Jordan Road

City
OrefieldState
PAZip Code
18069Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Patrick ToomeyCategory/
Type

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: PA

District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		11		2014

Transaction ID : 21685579

Amount of Each Disbursement this Period

500.00

Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3500.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 33 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Richard E Neal For Congress Committee

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Mailing Address 76 Magnolia Terrace

City	State	Zip Code
Springfield	MA	01108

Transaction ID : 21706517Purpose of Disbursement
Contribution

Amount of Each Disbursement this Period

Candidate Name

Rep. Richard E. Neal

011

Category/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MA District: 02

Contribution

Full Name (Last, First, Middle Initial)

B. Kyrsten Sinema For Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Mailing Address PO Box 25879

City	State	Zip Code
Tempe	AZ	85285

Transaction ID : 21706556Purpose of Disbursement
Contribution

Amount of Each Disbursement this Period

Candidate Name

Rep. Kyrsten Sinema

011

Category/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: AZ District: 09

Contribution

Full Name (Last, First, Middle Initial)

C. Crowley For Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Mailing Address 84-56 Grand Avenue

City	State	Zip Code
Elmhurst	NY	11373

Transaction ID : 21706557Purpose of Disbursement
Contribution

Amount of Each Disbursement this Period

Candidate Name

Rep. Joseph Crowley

011

Category/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NY District: 07

Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3000.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 34 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Alexander For Senate 2014 INC

Mailing Address P.O. Box 121919

City Nashville	State TN	Zip Code 37212-1919
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Purpose of Disbursement
Contribution

Candidate Name

Sen. Lamar AlexanderOffice Sought: ☐ House
☒ Senate
☐ PresidentDisbursement For: 2014
☒ Primary ☐ General
☐ Other (specify) ▼

State: TN District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Transaction ID : 21706558

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Friends Of Mark Warner

Mailing Address 201 North Union Street Suite 300

City Alexandria	State VA	Zip Code 22314
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Purpose of Disbursement
Contribution

Candidate Name

Sen. Mark Robert WarnerOffice Sought: ☐ House
☒ Senate
☐ PresidentDisbursement For: 2014
☐ Primary ☒ General
☐ Other (specify) ▼

State: VA District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Transaction ID : 21706561

Amount of Each Disbursement this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of John Delaney

Mailing Address PO Box 60320

City Potomac	State MD	Zip Code 20854
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Purpose of Disbursement
Contribution

Candidate Name

Rep. John DelaneyOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2014
☒ Primary ☐ General
☐ Other (specify) ▼

State: MD District: 06

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Transaction ID : 21706563

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

2500.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 35 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Rothfus For Congress

Mailing Address PO Box 435

City	State	Zip Code
Sewickley	PA	15143

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Keith RothfusCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: PA District: 12

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		29		2014

Transaction ID : 21706564

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Denham For Congress

Mailing Address 2150 River Plaza Dr., #150

City	State	Zip Code
Sacramento	CA	95833

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Jeff DenhamCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: CA District: 19

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		29		2014

Transaction ID : 21706570

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Steve Israel For Congress Committee

Mailing Address P.O. Box 777

City	State	Zip Code
Deer Park	NY	11729

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Steve J. IsraelCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NY District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
04		29		2014

Transaction ID : 21706573

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 36 OF 37

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Alaskans For Begich 2014

Mailing Address PO Box 410

City Palmer	State AK	Zip Code 99645
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Purpose of Disbursement
Contribution

Candidate Name

Sen. Mark Begich

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: AK District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Transaction ID : 21706575

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Ann Wagner For Congress

Mailing Address PO Box 50

City Ballwin	State MO	Zip Code 63022
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Purpose of Disbursement
Contribution

Candidate Name

Rep. Ann Wagner

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MO District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Transaction ID : 21706580

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Walberg For Congress

Mailing Address PO Box 1362

City Jackson	State MI	Zip Code 49204
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Purpose of Disbursement
Contribution

Candidate Name

Rep. Tim Walberg

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MI District: 07

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
04		29		2014

Transaction ID : 21706609

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

6000.00

	21b		22	X	23		24		25		26
	27		28a		28b		28c		29		30b

Securities Industry and Financial Markets Association Political Action Committee

04 / 29 / 2014

011

Category/
Type

2500.00

Contribution

Category/
Type

State: District:

Category/
Type

State: District:

2500.00

29500.00